

Approved:

Review:

Expires:

SUBJECT: RECORDS MANAGEMENT PROGRAM

1. OBJECTIVES.

- a. To set forth requirements and responsibilities for establishing and maintaining a program for the efficient and economical management of records.
- b. To provide for—
  - (1) awareness that records creation and management is part of the job of every Department of Energy (DOE) employee and contractor;
  - (2) documentation of DOE activities, organization, functions, policies, business processes, decisions and essential transactions;
  - (3) effective controls over all records and non-record materials in the Department's custody;
  - (4) technical capability to capture, preserve, access and appropriately dispose of electronic records;
  - (5) identification and transfer of permanent records to the National Archives and prompt disposal of temporary records when retention periods have expired; and
  - (6) lifecycle management that ensures the authenticity, reliability, and integrity of DOE records.
- c. To comply with the Federal Records Act [Public Law (P.L.) 81-574], as amended, the E-Government Act of 2002, and other legislation as listed in the references (paragraph 7).
- d. To protect the legal and financial rights of the Government and individuals directly affected by Government activities.

- e. To preserve information for future use and establish an historical account of the Department for succeeding generations.

2. CANCELLATIONS. DOE O 243.1

3. APPLICABILITY.

- a. DOE Elements. Except for the exclusions in paragraph 3c, this Order applies to all DOE elements. (See Attachment 1 for a complete list of DOE elements.) This Order automatically applies to DOE elements created after the order is issued.

The National Nuclear Security Administration (NNSA) Administrator shall assure that NNSA employees and contractors comply with their respective responsibilities under this Order.

- b. DOE Contractors. Except for the exclusions in paragraph 3c, the Contractors Requirements Document (CRD) (Attachment 2) sets forth requirements to be applied to contractors that create, receive, use, maintain, disseminate, and/or dispose of DOE records in connection with the performance of DOE-funded tasks or activities.

- (1) The CRD, Attachment 2 sets forth requirements of this Order that will apply to site/facility management contractors. Contractor compliance with the CRD will be required to the extent set forth in a contract.
- (2) The CRD must be included in site/facility management contracts that may involve the receipt, creation, use, maintenance, dissemination and/or disposition of DOE records.
- (3) The office identified in the responsibilities paragraph is responsible for notifying the contracting officer of which site/facility management contracts are affected. Once notified, the contracting officer is responsible for incorporating the CRD into the laws, regulations, and DOE directives clause of each affected site/facility management contract.
- (4) As the laws, regulations, and DOE directives clause of a site/facility management contract state, regardless of the performer of the work, the site/facility management contractor with the CRD incorporated into its contract is responsible for compliance with the requirements of the CRD.

- (a) An affected site/facility management contractor is responsible for flowing down the requirements of the CRD to subcontractors at any tier to the extent necessary to ensure the site/facility management contractor's compliance with the requirements.
  - c. Director, Naval Nuclear Propulsion Program. In accordance with the responsibilities and authorities assigned by Executive Order 12344 [statutorily prescribed by 42 United States Code (U.S.C.) 7158, note] and to ensure consistency throughout the joint Navy/DOE organization of the Naval Nuclear Propulsion Program, the Director will implement and oversee all practices pertaining to this DOE Order for activities under the Director's cognizance.
- 4. REQUIREMENTS. The following requirements must be met to ensure a DOE records management program that meets the objectives of this Order.
  - a. Establish recordkeeping requirements that are prescribed in laws, regulations, directives, and processes, and that reflect accurate and complete documentation of the Department's organizations, missions, functions, policies, and decisions.
  - b. Create records classifications that correspond to the Department's enterprise architecture and business reference models, and maintain up-to-date inventories and file plans for all categories of records created and received in the course of official business.
  - c. Maintain and dispose of records in accordance with National Archives and Records Administration (NARA)-approved records disposition schedules, as posted on the DOE Office of the Chief Information Officer (OCIO) Records Management Web pages (<http://cio.doe.gov/RBManagement/Records/records.html>).
  - d. Request disposition authorities from NARA, through the departmental Records Officer, for all unscheduled records. Apply disposition schedules approved for hard copy records to electronic records only in accordance with applicable Federal regulations (currently set forth at 36 CFR 1228.31 (a) and (b)).

- e. Preserve records beyond their approved retention periods when they have been placed under an official destruction moratorium for purposes of audits, litigation, Freedom of Information Act appeals, and similar obligations. A destruction moratorium shall be instituted only by the Departmental Records Officer or the National Archives and Records Administration.
- f. Identify and arrange for NARA appraisal and transfer those records proposed to be of permanent value based on their historical, evidential, or informational content (in accordance with applicable Federal regulations (currently set forth at 36 CFR 1228.26 and 1228.272)).
  - 1) Transfer to the National Archives permanent records that are 30 years or older and no longer in continual use by the Department for programmatic, administrative, legal or fiscal purposes.
  - 2) To retain permanent records in DOE or laboratory custody beyond 30 years, written certification shall be obtained from the Secretary of Energy and provided to the Archivist of the United States (in accordance applicable Federal regulations (currently set forth at with 36 CFR 1228.264)).
  - 3) Pre-accession unclassified electronic permanent records on an annual basis by electronically transferring a copy to NARA.
  - 4) Store electronic permanent records on media that meet the requirements found in applicable Federal regulations (currently set forth at 36 CFR 1234.30) and transfer electronic permanent records to NARA in accordance with applicable Federal regulations (currently set forth at 36 CFR 1228.270).
  - 5) Unscheduled records shall be treated as permanent until appropriate disposition schedules have been approved.
- g. By 2010, maintain electronic records in an approved records management application that meets the functional requirements of DoD 5015.2, "Electronic Records Management Software Application Design Criteria".
- h. Review capital planning and investment control (CPIC) proposals and information architecture plans to ensure new systems and system redesigns address regulatory requirements for managing electronic records. Decommissioning and migration of systems shall not be completed until records disposition has been addressed.
- i. Implement controls for electronic records that:

- 1) prevent unauthorized addition, modification or deletion;
  - 2) protect the records against power interruptions;
  - 3) provide an audit trail for addition, modification or deletion of records and retrieval activities;
  - 4) prevent over-writing of a record;
  - 5) prevent deletion of a record identifier once it is defined;
  - 6) prevent deletion of indexes, categories, labeling or other records identification;
  - 7) retain records in an easily retrieved, usable format until the authorized disposition date;
  - 8) provide adequate recovery and rebuild procedures so that records may be restored following a system or storage media malfunction; and
  9. maintain the integrity of redacted records and assure that redacted material is not accessible.
- j. Manage e-mail records along with their metadata (including a listing of recipients and date and time of receipt) either by means of an electronic records management system or printing and retaining the e-mail records as paper files. Electronic systems that are not regularly backed up and controlled shall not be used for official Departmental business (e.g., instant messaging).
- k. Manage web content and web management and operating records by ensuring the records are captured, retained for appropriate retention periods, and disposed of according to NARA-approved disposition schedules. Due to the large volume and complexity of web records, risk management concepts shall be applied to the maintenance of these records.
- l. Store records in facilities that meet the requirements of applicable Federal regulations (currently set forth at 36 CFR 1228, Subpart K) and ensure that all provisions (as currently set forth in 36 CFR Subpart I, 1228.152-1228.156) are met when storing records in agency and laboratory facilities and commercial records centers.
- m. Conduct internal evaluations of records management practices and programs, including the economy of the operation, at least every 3 years.
- n. Ensure all personnel are provided records management training appropriate to their records responsibilities.
- o. Identify and preserve vital records to ensure they are up-to-date and available in the event of a continuity of operations or catastrophic event (see reference paragraph 7a and related directives). Storage for vital records shall meet the requirements of applicable Federal regulations (currently set forth at 36 CFR 1228, Subpart K and 36 CFR 1236).

- p. Prevent inadvertent records loss, destruction, or alienation by transferring custodianship of Federal records to another employee or a records liaison officer (RLO) when employees depart.
- q. All data created, received and maintained for the Government by contractors shall be managed in accordance with 44 U.S.C. Chapters 21, 29, 31 and 33; the Freedom of Information Act (5 U.S.C. 552); and the Privacy Act (5 U.S.C. 552a) and shall be managed and dispositioned in accordance with 36 CFR 1228. When deliverables include electronic records, sufficient technical documentation to permit use shall be required.

5. RESPONSIBILITIES.

- a. DOE Chief Information Officer (through the Departmental Records Officer).
  - (1) Develops and administers DOE policies and directives related to the requirements of this Order and provides oversight in their implementation.
  - (2) Provides overall leadership and management of DOE records management-related activities as required by Federal laws, Executive orders, regulations, DOE directives, and Departmental established or accepted standards.
  - (3) Serves as the DOE point of contact with NARA, other Federal agencies, and the public sector for issues related to the records management program.
  - (4) Provides oversight to ensure implementation of policies and procedures for the adequate and proper documentation of DOE activities and decisions.
  - (5) Identifies the records management responsibilities of DOE Headquarters (HQ) program offices senior-level representatives (and their associated field entities).
  - (6) Coordinates with the HQ program records officials (PROs) in the implementation of the DOE Records Management Program throughout the DOE complex.
  - (7) Establishes and chairs the Records Management Council.
- b. Heads of DOE Elements.
  - (1) Establish, implement, and sustain records management programs within their respective organizations for adequate

and proper documentation of DOE mission-related programs in accordance with the requirements of all Federal laws and regulations, Executive orders, DOE Orders and directives, accepted external standards, and authoritative issuances (e.g., DOE numbered memos or NARA guidance).

- (2) Provide for adequate and proper documentation of actions related to DOE mission-related programs in accordance with recordkeeping requirements.
  - (3) Provide staff resources to support records management processes within their respective organizations by appointing the following staff members.
    - (a) A senior-level PRO with HQ and program field site oversight and signature authority to approve records issues for the program and be the program liaison with the Departmental Records Officer.
    - (b) At least one RLO to provide day-to-day administration of an organization's records management program and to act as liaison with the PRO.
    - (c) A records management field officer (RMFO) at each field site or office to implement the records management program at field and area offices in their respective organizations and to act as liaison with the HQ PRO and provide oversight and guidance to contractor records management programs.
  - (4) Provide names and contact information for the designated PROs, HQ RLOs, and RMFOs to the Departmental Records Officer.
  - (5) Designate responsible individuals (normally PROs) for identifying the contracts in which CRDs must be included and notifying contracting officers of affected contracts.
- c. Program Records Officials, Records Liaison Officers, and Records Management Field Officers. The PRO is responsible for the following program activities supporting the DOE Records Management Program. Except for the items marked "PRO," these activities may be delegated to the RLOs and the RMFOs for their individual offices and sites.
- (1) Coordinate the records management programs within their respective organizations to ensure compliance with this Order through the designated RLOs and RMFOs. (PRO)

- (2) Identify site/facility management contracts to which the CRD of this Order applies, and notify the contracting officials if designated pursuant to paragraph 5b(5). (PRO)
- (3) Work in partnership with DOE contracting officials and contractors to ensure records are managed and delivered properly in accordance with the contract. (PRO)
- (4) Identify program-specific records and ensure that they are listed on a NARA-approved records disposition schedule.
- (5) Identify vital records, which require special handling to ensure their availability for use.
- (6) Ensure permanent records are preserved and temporary records are retired, transferred, or destroyed promptly according to NARA-approved records disposition schedules.
- (7) Ensure Federal records created or received in connection with major facilities management contracts are—(PRO)
  - (a) managed in accordance with this Order and with all other relevant Orders, laws, and regulations and
  - (b) delivered to DOE at intervals, as prescribed by the contracts, or upon termination of the contracts.
- (8) Identify new non-major facilities management contract procurements where some or all of the provisions of this Order apply. (PRO)
  - (a) Ensure records identified as contract deliverables include environment, safety, and health records; financial and technical records; and other records specified as appropriate to the contract scope.
  - (b) Ensure records identified as contract deliverables are handled in accordance with the requirements of this Order and other relevant Orders, laws, and regulations and are delivered to DOE at appropriate intervals per the contracts or at the termination of the contracts.
- (9) Ensure all recordkeeping requirements are established and kept current.
- (10) Ensure all personnel with records management responsibilities receive appropriate records management

training.

- (11) Ensure that DOE Records Management Program provisions and standards are included in the scope and planning for electronic information systems (e.g., the CPIC development and approval process). (PRO)
- (12) Assess records management practices in offices under their cognizance at least every 3 years.
- (13) Ensure that records are maintained cost effectively and that records storage facilities meet the requirements of applicable Federal regulations (currently set forth at 36 CFR 1228, Subpart K). (PRO)
- (14) Review and approve costs for the storage of Federal records including the invoices for records stored in the Federal Records Centers, leases for commercial records storage, and requests for construction of onsite storage facilities. (PRO)
- (15) Ensure that departing Federal and contractor employees identify and transfer any records in their custody to program files or an appropriate custodian, either the RLO or the person assuming responsibility for the work.
- (16) Participate in the Records Management Advisory Council. (PRO)
- (17) Use risk management concepts to determine and address records management priorities.

d. Department of Energy Contracting Officials.

- (1) Once notified by their respective PROs, or responsible individuals designated pursuant to paragraph 5b(5), incorporate the CRD into affected contracts.
- (2) Work in partnership with PROs/RMFOs/RLOs to ensure that the appropriate records are managed and delivered properly by contractors.

e. Chief Historian.

- (1) Assists in identifying, organizing, and preserving records of Secretarial Officers and their staffs.
- (2) Works with the Departmental Records Officer to ensure

records, archival holdings, photographs, maps, architectural/engineering drawings, and other materials are identified, organized, and preserved in support of DOE's historic records preservation program.

- (3) Works with the Departmental Records Officer to provide access to historically significant records throughout DOE.

f. Office of the General Counsel.

- (1) Notifies the Departmental Records Officer when a moratorium on records disposition is needed to support litigation or other legal matters.
- (2) Supports the submittal of DOE records disposition schedules by reviewing them for legal retention before submittal.

6. DEFINITIONS. See Attachment 3.

7. REFERENCES. The references listed below provide additional clarification and requirements for the DOE Records Management Program.

- a. DOE N 150.1, Continuity of Operations, dated 1-14-05, <https://www.directives.doe.gov/pdfs/doe/doetext/restrict/neword/150/n1501.pdf>.
- b. DOE O 200.1, Information Management Program, dated 9-30-96, <https://www.directives.doe.gov/pdfs/doe/doetext/restrict/neword/200/o2001.pdf>.
- c. DOE O 414.1C, Quality Assurance, dated 6-17-05, [www.directives.doe.gov/pdfs/doe/doetext/neword/414/o4141c.pdf](http://www.directives.doe.gov/pdfs/doe/doetext/neword/414/o4141c.pdf).
- d. DOE P 450.4, Safety Management System Policy, dated 10-15-96, <http://www.directives.doe.gov/pdfs/doe/doetext/neword/450/p4504.pdf>.
- e. 36 CFR, Chapter 12, Subchapter B, "Records Management," [http://www.archives.gov/about\\_us/regulations/subchapter\\_b.html](http://www.archives.gov/about_us/regulations/subchapter_b.html).
- f. 42 U.S.C. 7158, "Naval Reactor and Military Application Programs," <http://uscode.house.gov/uscode-cgi/fastweb.exe?getdoc+uscview+t41t42+5470+1++%28%29%20%20AND%20%28%2842%29%20ADJ%20USC%29%3ACITE%20AND%20%28USC%20%287158%29%29%3ACITE%20%20%20%20%20%20%20%20%20>.
- g. 44 U.S.C., Chapters 21, 29, 31, 33, and 35

<http://www.access.gpo.gov/uscode/title42.html>.

- h. Office of Management and Budget (OMB) Circular Number A-11, “Preparation, Submission, and Execution of the Budget,” Sections 31.8, 53 and Part 7, <http://www.whitehouse.gov/omb/circulars/a11/04toc.html>.
- i. OMB Circular Number A-130, “Management of Federal Information Resources,” <http://www.whitehouse.gov/omb/circulars/a130/a130trans4.html>.
- j. E-Government Act of 2002 (P.L. 107-347, 44 U.S.C. Ch 36), <http://uscode.house.gov/download/pls/44C36.txt>.
- k. National Nuclear Security Administration Act (Title XXXII of P.L. 106-65), [http://www.nnsa.doe.gov/docs/2004-03-11-Title\\_XXXII.pdf](http://www.nnsa.doe.gov/docs/2004-03-11-Title_XXXII.pdf).
- l. Paperwork Reduction Act (P.L. 104-13, 44 U.S.C. 3501 et seq.), [http://www.archives.gov/federal\\_register/public\\_laws/paperwork\\_reduction\\_act/3501.html](http://www.archives.gov/federal_register/public_laws/paperwork_reduction_act/3501.html).
- m. Privacy Act [P.L. 93-579, 5 U.S.C. 552a(m)], <http://uscode.house.gov/download/pls/05C5.txt>.
- n. Freedom of Information Act [P.L. 89-487, 5 U.S.C. 552 (g)], <http://uscode.house.gov/download/pls/05C5.txt>.
- o. National Archives and Records Administration Publication, “Guidance for Coordinating the Evaluation of Capital Planning and Investment Control (CPIC) Proposals for ERM Applications,” [http://www.archives.gov/records\\_management/policy\\_and\\_guidance/cpic\\_guidance.html](http://www.archives.gov/records_management/policy_and_guidance/cpic_guidance.html).
- p. Department of Energy Acquisition Regulation, Part 970—DOE Management and Operating Contracts.
  - (1) 48 CFR 970.5204-3, “Access to and Ownership of Records,” [http://a257.g.akamaitech.net/7/257/2422/12feb20041500/edocket.access.gpo.gov/cfr\\_2004/octqtr/48cfr970.5204-3.htm](http://a257.g.akamaitech.net/7/257/2422/12feb20041500/edocket.access.gpo.gov/cfr_2004/octqtr/48cfr970.5204-3.htm).
  - (2) 48 CFR 970.5232-3, “Accounts, Records, and Inspection,” [http://a257.g.akamaitech.net/7/257/2422/12feb20041500/edocket.access.gpo.gov/cfr\\_2004/octqtr/48cfr970.5232-3.htm](http://a257.g.akamaitech.net/7/257/2422/12feb20041500/edocket.access.gpo.gov/cfr_2004/octqtr/48cfr970.5232-3.htm).
  - (3) 48 CFR 970.0404, “Safeguarding Classified Information,” [http://www.access.gpo.gov/nara/cfr/waisidx\\_04/48cfr970\\_04.html](http://www.access.gpo.gov/nara/cfr/waisidx_04/48cfr970_04.html).

- (4) 48 CFR 970.0407, “Contractor Records Retention,”  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_04/48cfr970\\_04.html](http://www.access.gpo.gov/nara/cfr/waisidx_04/48cfr970_04.html).
  
  - q. DOE Reference Book for Contract Administrators (Chapter 9),  
<http://professionals.pr.doe.gov/ma5/MA-5Web.nsf/Procurement/ReferenceBookforContractAdministrators?OpenDocument>.
  
  - r. NARA-approved DOE administrative, programmatic, and site-specific records disposition schedules,  
<http://cio.energy.gov/records-management/disposition.htm>
  
  - s. Records management section of the DOE Chief Information Officer Web site,  
<http://cio.energy.gov/records-management.htm>
  
  - t. DoD 5015.2, “Design Criteria Standard for Electronic Records Management Software Applications.”
8. CONTACT. Questions concerning this Order should be addressed to the Departmental Records Officer, HQ Records Management Division, at 301-903-3455.

BY ORDER OF THE SECRETARY OF ENERGY:

Deputy Secretary

## ATTACHMENT 1. DOE ELEMENTS TO WHICH DOE O 243.1 IS APPLICABLE

Office of the Secretary  
Departmental Representative to the Defense Nuclear Facilities  
Safety Board  
Energy Information Administration  
National Nuclear Security Administration  
Office of the Chief Information Officer  
Office of Civilian Radioactive Waste Management  
Office of Congressional and Intergovernmental Affairs  
Office of Counterintelligence  
Office of Economic Impact and Diversity  
Office of Electricity Delivery and Energy Reliability  
Office of Energy Efficiency and Renewable Energy  
Office of Environment, Safety and Health  
Office of Environmental Management  
Office of Fossil Energy  
Office of General Counsel  
Office of Hearings and Appeals  
Office of Inspector General  
Office of Intelligence  
Office of Legacy Management  
Office of Management, Budget and Evaluation/Chief Financial Officer  
Office of Nuclear Energy, Science and Technology  
Office of Policy and International Affairs  
Office of Public Affairs  
Office of Science  
Office of Security and Safety Performance Assurance  
Secretary of Energy Advisory Board  
Bonneville Power Administration  
Southeastern Power Administration  
Southwestern Power Administration  
Western Area Power Administration

## ATTACHMENT 2. CONTRACTOR REQUIREMENTS DOCUMENT DOE O 243.1, RECORDS MANAGEMENT PROGRAM

This Contractor Requirements Document (CRD) establishes the requirements for Department of Energy (DOE) and National Nuclear Security Administration contractors who create, use, maintain, receive, disseminate, or dispose of DOE records in connection with the performance of DOE-funded tasks or activities. Contractors must comply with the following requirements.

Regardless of the performer of the work, the contractor is responsible for complying with the requirements of this CRD. The contractor is responsible for flowing down the requirements of this CRD to subcontractors at any tier to the extent necessary to ensure contractor compliance with the requirements.

As directed by the contracting officer, the contractor must do the following.

1. The following requirements to ensure a DOE records management program that complies with objectives of this CRD.
  - a. Implement a records management program in compliance with requirements for managing records in all formats, including early capture and control throughout their life cycles.
    - (1) Electronically formatted records will be maintained in an approved electronic records management application meeting the requirements of DOD-STD-5015.2, "Design Criteria Standard for Electronic Records Management Software Applications."
    - (2) E-mail records will be managed along with their metadata, including a listing of recipients and time of receipt, if available.
    - (3) Electronic systems that are not regularly backed up and controlled (e.g., instant messaging) should not be used for conducting official Departmental business.
    - (4) Manage web content and web management and operating records to ensure the records are captured, retained for the appropriate retention period, and disposed of according to NARA-approved disposition schedules. Due to the large volume and complexity of web records, risk management concepts shall be applied to the maintenance of these records.

- (5) Until an electronic records management system is available and implemented, electronic records will be printed and retained as paper files.
- b. Implement controls for electronic records that: prevent unauthorized addition, modification or deletion; protect the records against power interruptions;
    - (1) provide an audit trail for addition, modification or deletion of records and retrieval activities;
    - (2) prevent over-writing of a record;
    - (3) prevent deletion of a record identifier once it is defined;
    - (4) prevent deletion of indexes, categories, labeling or other records identification;
    - (5) identification;
    - (6) retain records in an easily retrieved, usable format until
    - (7) their authorized disposition date;
    - (8) provide adequate recovery and rebuild procedures so that records can be restored following a system or storage media malfunction;
    - (9) maintain the integrity of redacted records and assure that redacted material is not accessible.
  - c. Establish recordkeeping requirements that are prescribed in laws, regulations, directives, and processes and that reflect accurate and complete documentation of the work performed under contract for the Government.
  - d. Create and maintain up-to-date inventories and file plans that describe all categories of records created, received, and maintained by personnel in the course of their official duties.
  - e. Preserve and disposition records in the same manner as National Archives and Records Administration (NARA)-approved records disposition schedules, as posted on the DOE Office of the Chief Information Officer (OCIO) Records Management Web pages (<http://cio.doe.gov/RBManagement/Records/records.html>).
  - f. Preserve records placed under a destruction moratorium (freeze) as necessary to support audits, court cases, Freedom of Information Act appeals, or similar obligations.
  - g. Apply disposition schedules approved for hard copy records to electronic records only in accordance with applicable Federal regulations (currently set forth at 36 CFR 1228.31 (a) and (b)).
  - h. Store records in a manner that meets the requirements of Federal regulations (currently set forth at 36 CFR 1228, Subpart K) and ensure the provisions (as currently set forth at 36 CFR Subpart I, 1228.152-1228.156 are

met when storing records in laboratory facilities and commercial records centers.

- i. Review capital planning and investment control (CPIC) proposals and information architecture plans for electronic records management provisions. Decommissioning and migration of systems shall not be completed until records disposition has been addressed.
  - j. Conduct internal evaluations of records management practices and programs, including the economy of the operation, at least every 3 years.
  - k. Ensure that records management program training is provided for all personnel with records management responsibilities on a regular basis.
  - l. Identify vital records and preserve them in a manner that ensures they are maintained, kept current and where appropriate, available in the event of a continuity of operations or catastrophic event (see paragraph 4a and related directives). Storage for vital records shall meet provisions of applicable Federal regulations (currently set forth at 36 CFR 1228, Subpart K and 36 CFR 1236).
  - m. Ensure that the site exit process includes a requirement for the transfer of custodianship of Federal records to another employee or a records liaison officer when employees leave on a permanent or long-term basis.
2. Identify and confirm compliance with additional recordkeeping requirements placed on DOE or Federal contractor activities; environmental, safety, health studies; quality assurance; emergency management; and other mission-related functions.
3. Manage the disposition of Federal records according to NARA-approved schedules and practices. Request disposition authority from NARA, through the Records Management Field Officer, the Program Records Official, and the Departmental Records Officer, for all unscheduled records.
4. Identify and arrange for NARA appraisal and transfer those records proposed to be of permanent value based on their historical, evidential or informational content in accordance with applicable Federal regulations (currently set forth at 36 CFR 1228.26 and 1228.272).
  - a. Transfer to the National Archives permanent records that are 30 year or older and no longer in continual use by the Department for programmatic, administrative, legal or fiscal purposes.

- b. To retain permanent records in laboratory custody beyond 30 years, written certification shall be obtained from the Secretary of Energy and provided to the Archivist of the United States (in accordance with applicable Federal regulations (currently set forth at 36 CFR 1228.264)).
  - c. Pre-accession unclassified electronic permanent records on an annual basis by electronically transferring a copy to NARA.
  - d. Store electronic permanent records on media that meet Federal requirements (as currently set forth in 36 CFR 1234.30 and transfer electronic permanent records to NARA in accordance with applicable Federal regulations (currently set forth at 36 CFR 1228.270)).
  - e. Unscheduled records shall be treated as permanent until appropriate disposition schedules have been approved.
5. Identify to procurement officials those corporate records that will not be designated Federal record nor managed in accordance with regulatory requirements. Corporate records of interest to the Department shall be made available for duplication as required (in accordance with Federal Acquisition Regulations).
6. Use the following standards, schedules, and regulations to implement a records management program that meets the intent of this CRD.
- a. DOE N 150.1, Continuity of Operations, dated 1-14-05, <https://www.directives.doe.gov/pdfs/doe/doetext/restrict/neword/150/n1501.pdf>.
  - b. DOE O 200.1, Information Management Program, dated 9-30-96, <https://www.directives.doe.gov/pdfs/doe/doetext/restrict/neword/200/o2001.pdf>.
  - c. DOE O 414.1C, Quality Assurance, dated 6-17-05, [www.directives.doe.gov/pdfs/doe/doetext/neword/414/o4141c.pdf](http://www.directives.doe.gov/pdfs/doe/doetext/neword/414/o4141c.pdf).
  - d. DOE P 450.4, Safety Management System Policy, dated 10-15-96, <http://www.directives.doe.gov/pdfs/doe/doetext/neword/450/p4504.pdf>.
  - e. 36 CFR, Chapter 12, Subchapter B, "Records Management," [http://www.archives.gov/about\\_us/regulations/subchapter\\_b.html](http://www.archives.gov/about_us/regulations/subchapter_b.html).
  - f. Title 42 United States Code (U.S.C.) 7158, "Naval Reactor and Military Application Programs," <http://uscode.house.gov/uscode-cgi/fastweb.exe?getdoc+uscview+>

t41t42+5423+1++%28%29%20%20AND%20%28%2842%29%20ADJ%  
20USC%29%3ACITE%20AND%20%28USC%20w%2F10%20%287158  
%29%29%3ACITE%20%20%20%20%20%20%20%20.

- g. 44 U.S.C., Chapters 21, 29, 31, 33, and 35  
<http://www.access.gpo.gov/uscode/title42.html>.
- h. Office of Management and Budget (OMB) Circular Number A-11, “Preparation, Submission, and Execution of the Budget,” Sections 31.8, 53 and Part 7, <http://www.whitehouse.gov/omb/circulars/a11/04toc.html>.
- i. OMB Circular Number A-130, “Management of Federal Information Resources,” <http://www.whitehouse.gov/omb/circulars/a130/a130trans4.html>.
- j. E-Government Act of 2002 [Public Law (P.L.) 107-347, 44 U.S.C. Ch 36], <http://uscode.house.gov/download/pls/44C36.txt>.
- k. National Nuclear Security Administration Act (Title XXXII of P.L. 106-65), [http://www.nsa.doe.gov/docs/2004-03-11-Title\\_XXXII.pdf](http://www.nsa.doe.gov/docs/2004-03-11-Title_XXXII.pdf).
- l. Paperwork Reduction Act, (P.L. 104-13, 5 U.S.C. 1320), <http://uscode.house.gov/download/pls/05C5.txt>.
- m. Privacy Act [P.L 93-579, 5 U.S.C. 552 a (m)], <http://uscode.house.gov/download/pls/05C5.txt>.
- n. Freedom of Information Act (FOIA) [P.L. 89-487, 5 U.S.C. 552 (g)], <http://uscode.house.gov/download/pls/05C5.txt>.
- o. National Archives and Records Administration Publication, “Guidance for Coordinating the Evaluation of Capital Planning and Investment Control (CPIC) Proposals for ERM Applications,” [http://www.archives.gov/records\\_management/policy\\_and\\_guidance/cpic\\_guidance.html](http://www.archives.gov/records_management/policy_and_guidance/cpic_guidance.html).
- p. Department of Energy Acquisition Regulation, Part 970—DOE Management and Operating Contracts.
  - (1) 48 CFR 970.5204-3, “Access to and Ownership of Records,” [http://a257.g.akamaitech.net/7/257/2422/12feb20041500/edocket.access.gpo.gov/cfr\\_2004/octqtr/48cfr970.5204-3.htm](http://a257.g.akamaitech.net/7/257/2422/12feb20041500/edocket.access.gpo.gov/cfr_2004/octqtr/48cfr970.5204-3.htm).
  - (2) 48 CFR 970.5232-3, “Accounts, Records, and Inspection,” <http://a257.g.akamaitech.net/7/257/2422/12feb20041500/>

[edocket.access.gpo.gov/cfr\\_2004/octqtr/48cfr970.5232-3.htm](http://edocket.access.gpo.gov/cfr_2004/octqtr/48cfr970.5232-3.htm).

- (3) 48 CFR 970.0404, "Safeguarding Classified Information," [http://www.access.gpo.gov/nara/cfr/waisidx\\_04/48cfr970\\_04.html](http://www.access.gpo.gov/nara/cfr/waisidx_04/48cfr970_04.html).
  - (4) 48 CFR 970.0407, "Contractor Records Retention," [http://www.access.gpo.gov/nara/cfr/waisidx\\_04/48cfr970\\_04.html](http://www.access.gpo.gov/nara/cfr/waisidx_04/48cfr970_04.html).
  - q. DOE Reference Book for Contract Administrators (Chapter 9), <http://professionals.pr.doe.gov/ma5/MA5Web.nsf/Procurement/ReferenceBookforContractAdministrators?OpenDocument>.
  - r. NARA-approved DOE administrative, programmatic, and site-specific records disposition schedules, <http://cio.doe.gov/RBManagement/Records/dissched.htm>.
  - s. Records management section of the DOE Chief Information Officer Web site, <http://cio.doe.gov/RBManagement/Records/records.html>.
  - t. DOD-STD-5015-2, "Design Criteria Standard for Electronic Records Management Software Applications.
7. The following definitions are applicable to DOE records management.
- a. **ADEQUATE AND PROPER DOCUMENTATION.** Record of the conduct of Government business that is complete and accurate to the extent required to document organization, functions, policies, decisions, procedures, and essential transactions and is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by Government activities.
  - b. **APPRAISAL.** Process of determining the value and thus the final disposition of a record series, making them either temporary or permanent.
  - c. **ARCHIVE.**
    - (1) Non-current records of an organization preserved because of their continuing or enduring value.
    - (2) One or more buildings, or portions thereof, where permanent records are located after being accessioned by an archival agency.

- d. **CAPITAL PLANNING AND INVESTMENT CONTROL (CPIC).** Process used to develop and provide the basic information required to plan, budget, acquire and manage information technology resources. The CPIC process is defined in OMB Circular A-11, "Preparation, Submission, and Execution of the Budget."
- e. **CONTRACTOR-/CORPORATE-OWNED RECORDS.** Those that are not identified as Federal records (such as company proprietary information, records unrelated to the work performed under a Federal contract, and other similar records) that thus belong to the contractor. Contractor-/corporate-owned records are defined in the contract.
- f. **DEPARTMENTAL RECORDS OFFICER.** Person assigned responsibility for overseeing the Department of Energy Records Management Program by the DOE Chief Information Officer or his/her designee.
- g. **DISPOSITION.** Actions taken regarding records no longer needed to conduct regular, current business. Title 44 United States Code (U.S.C.) 2901(5) defines records disposition as any activity with respect to—
  - (1) disposal of temporary records no longer needed for the conduct of business by destruction or donation to an eligible person or organization outside of Federal custody in accordance with the requirements of 36 CFR 1228,
  - (2) transfer of records to Federal agency storage facilities or records centers,
  - (3) transfer to the National Archives of the United States of records determined to have sufficient historical or other value to warrant continued preservation, or
  - (4) transfer of records from one Federal agency to any other Federal agency in accordance with the requirements of 36 CFR 1228.
- b. **DOE ELEMENTS.** First-tier organizations at Department of Energy (DOE) Headquarters and in the field, including the National Nuclear Security Administration (NNSA). First-tier organizations at Headquarters include the offices of the Secretary, Deputy Secretary, Under Secretary, Secretarial Officers Assistant Secretaries, and staff offices. First-tier organizations in the field include operations offices, field and site offices, and the power marketing administrations. Headquarters elements are normally located in the Washington,

D.C., metropolitan area; field organizations are all DOE sites (excluding individual duty stations) located outside the Washington metropolitan area. Requirements pertaining to first-tier organizations will normally be passed through to subordinate organizations.

- c. **ELECTRONIC RECORDS.** Information recorded in a form that only a computer can process that satisfies the definition of a record. Electronic records are preferably kept in recordkeeping systems but may be created, stored, and managed in any form of electronic information system or application program.
- d. **FILE PLAN.** A systematic method of identifying the specific types of records maintained, series descriptions, and disposition authorities (for example, a records inventory and disposition system or other systems used to identify, locate, and retrieve records).
- e. **METADATA.** Descriptions of the content, structure, data elements, interrelationships, and other characteristics of records; record profiles or indexing data.
- f. **NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA).** Agency responsible for appraising, accessioning, preserving, and making available permanent Federal records.
- g. **NONRECORD MATERIALS.** Federally owned informational materials that do not meet the statutory definition of “records” or that have been excluded from coverage by the definition. Extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit are excluded materials.
- h. **PERMANENT RECORDS.** Those that the National Archives and Records Administration (NARA) determined to have sufficient value to warrant its preservation in the National Archives. Permanent records include all records accessioned by NARA’s Office of the National Archives and later increments of the same records and records for which the disposition is “permanent” on Standard Form 115, Request for Records Disposition Authority, approved by NARA on or after 5-14-73.
- i. **QUALITY ASSURANCE RECORDS.** Those that are created and retained as prescribed under a quality assurance program. These records are controlled under the provisions of an approved procedure and retained as prescribed by the DOE records disposition schedules.

- j. **RECORDKEEPING SYSTEM.** Manual or automated mechanism in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.
- k. **RECORDS.** All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them (44 U.S.C. 3301).
- l. **RECORDS MANAGEMENT.** Planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with records creation, records maintenance and use, and records disposition to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of Agency operations.
- m. **SCHEDULE.** National Archives and Records Administration-approved authorization for the disposition of Federal records. Also called a records disposition schedule. The DOE records disposition schedules are posted on the DOE Chief Information Officer Records Management Web pages at <http://cio.doe.gov/RBManagement/Records/dissched.htm>.
- n. **SERIES.** File units or documents arranged according to a filing system or kept together because they relate to a particular topic, subject, or function; result from the same activity; document a specific kind of transaction; take a particular physical form; or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Also called a records series.
- o. **TEMPORARY RECORDS.** Those determined by the Archivist of the United States to have insufficient value (on the basis of current standards) to warrant preservation by the National Archives and Records Administration (NARA). This determination may take the form of—
  - (1) an Agency records disposition schedule approved by NARA (SF 115, Request for Records Disposition Authority) or
  - (2) a general records schedule issued by NARA.

- p. **VITAL RECORDS.** Those records that are essential to the continued functioning or reconstitution of an organization during and after an emergency including those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Vital records are sometimes called essential records. Vital records considerations are part of DOE's continuation of operations program.

### ATTACHMENT 3. DEFINITIONS

1. **ADEQUATE AND PROPER DOCUMENTATION.** Record of the conduct of Government business that is complete and accurate to the extent required to document organization, functions, policies, decisions, procedures, and essential transactions and is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by Government activities.
2. **APPRAISAL.** Process of determining the value and thus the final disposition of a record series, making them either temporary or permanent.
3. **ARCHIVE.**
  - a. Non-current records of an organization preserved because of their continuing or enduring value.
  - b. One or more buildings, or portions thereof, where permanent records are located after being accessioned by an archival agency.
4. **CAPITAL PLANNING AND INVESTMENT CONTROL (CPIC).** Process used to develop and provide the basic information required to plan, budget, acquire and manage information technology resources. The CPIC process is defined in OMB Circular A-11, "Preparation, Submission, and Execution of the Budget."
5. **CONTRACTOR-/CORPORATE-OWNED RECORDS.** Those that are not identified as Federal records (such as company proprietary information, records unrelated to the work performed under a Federal contract, and other similar records) that thus belong to the contractor. Contractor-/corporate-owned records are defined in the contract.
6. **DEPARTMENTAL RECORDS OFFICER.** Person assigned responsibility for overseeing the Department of Energy Records Management Program by the DOE Chief Information Officer or his/her designee.
7. **DISPOSITION.** Actions taken regarding records no longer needed to conduct regular, current business. Title 44 U.S.C. 2901(5) defines records disposition as any activity with respect to—
  - a. disposal of temporary records no longer needed for the conduct of business by destruction or donation to an eligible

person or organization outside of Federal custody in accordance with the requirements of 36 CFR 1228,

- b. transfer of records to Federal agency storage facilities or records centers,
  - c. transfer to the National Archives of the United States of records determined to have sufficient historical or other value to warrant continued preservation, or
  - d. transfer of records from one Federal agency to any other Federal agency in accordance with the requirements of 36 CFR 1228.
8. **DOE ELEMENTS.** First-tier organizations at Department of Energy (DOE) Headquarters and in the field, including the National Nuclear Security Administration (NNSA). First-tier organizations at Headquarters include the offices of the Secretary, Deputy Secretary, Under Secretary, Secretarial Officers and staff offices. First-tier organizations in the field include operations offices, field and site offices, and the power marketing administrations. Headquarters elements are located in the Washington, D.C., metropolitan area; field elements are all DOE sites (excluding individual duty stations) located outside the Washington metropolitan area. Requirements pertaining to first-tier organizations will normally be passed through to subordinate organizations.
9. **ELECTRONIC RECORDS.** Information recorded in a form that only a computer can process that satisfies the definition of a record. Electronic records are preferably kept in recordkeeping systems but may be created, stored, and managed in any form of electronic information system or application program.
10. **FILE PLAN.** A systematic method of identifying the specific types of records maintained, series descriptions, and disposition authorities (for example, a records inventory and disposition system or other systems used to identify, locate, and retrieve records).
11. **METADATA.** Descriptions of the content, structure, data elements, interrelationships, and other characteristics of records; record profiles or indexing data.
12. **NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA).** Agency responsible for appraising, accessioning, preserving, and making available permanent Federal records.

13. **NONRECORD MATERIALS.** Federally owned informational materials that do not meet the statutory definition of “records” or that have been excluded from coverage by the definition. Extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit are excluded materials.
14. **PERMANENT RECORDS.** Those that the National Archives and Records Administration (NARA) determined to have sufficient value to warrant its preservation in the National Archives. Permanent records include all records accessioned by NARA’s Office of the National Archives and later increments of the same records and records for which the disposition is “permanent” on Standard Form 115, Request for Records Disposition Authority, approved by NARA on or after 5-14-73.
15. **QUALITY ASSURANCE RECORDS.** Those that are created and retained as prescribed under a quality assurance program. These records are controlled under the provisions of an approved procedure and retained as prescribed by the DOE records disposition schedules.
16. **RECORDKEEPING SYSTEM.** Manual or automated mechanism in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.
17. **RECORDS.** All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them (44 U.S.C. 3301).
18. **RECORDS MANAGEMENT.** Planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with records creation, records maintenance and use, and records disposition to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of Agency operations.
19. **SCHEDULE.** National Archives and Records Administration-approved authorization for the disposition of Federal records. Also called a records disposition schedule. The DOE records

disposition schedules are posted on the DOE Chief Information Officer Records Management Web pages at <http://cio.doe.gov/RBManagement/Records/dissched.htm>.

20. **SERIES.** File units or documents arranged according to a filing system or kept together because they relate to a particular topic, subject, or function; result from the same activity; document a specific kind of transaction; take a particular physical form; or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Also called a records series.
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  - a. an Agency records disposition schedule approved by NARA (SF 115, Request for Records Disposition Authority) or
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